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UTILITY PATENT APPLICATION TRANSMITTAL (Only for new nonprovisional applications under 37 CFR 1.53(b))	Attorney Docket No.	SPK 01-007
	First Inventor	Shing Lee
	Title	THERMALLY WAVELENGTH TUNABLE LASER HAVING SELECTIVELY ACTIVATED GRATINGS.
	Express Mail Label No.	EL 873888399 US

APPLICATION ELEMENTS	ADDRESS TO:	
See MPEP chapter 600 concerning utility patent application contents.	Assistant Commissioner for Patents Box Patent Application Washington, DC 20231	
1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17) <small>(Submit in original and a duplicate for fee processing)</small>	7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)	
2. <input checked="" type="checkbox"/> Applicant claims small entity status See 37 CFR 1.27	8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary) a. <input type="checkbox"/> Computer Readable Form (CRF) b. Specification Sequence Listing on: i. <input type="checkbox"/> CD-ROM or CD-R (2 copies), or ii. <input type="checkbox"/> paper c. <input type="checkbox"/> Statements verifying identity of above copies	
3. <input checked="" type="checkbox"/> Specification [Total Pages 50] <small>(preferred arrangement set forth below)</small> - Descriptive title of the invention. - Cross Reference to Related Applications - Statement Regarding Fed sponsored R & D - Reference to sequence listing, a table, or a computer program listing appendix - Background of the invention - Brief Summary of the invention - Brief Description of the Drawings (if filed) - Detailed Description - Claim(s) - Abstract of the Disclosure	ACCOMPANYING APPLICATION PARTS 9. <input checked="" type="checkbox"/> Assignment Papers (cover sheet & document(s)) 10. <input type="checkbox"/> 37 CFR 3.73(b) Statement <input type="checkbox"/> Power of Attorney <small>(when there is an assignee)</small> 11. <input type="checkbox"/> English Translation Document (if applicable) 12. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations 13. <input type="checkbox"/> Preliminary Amendment 14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) <small>(Should be specifically itemized)</small> 15. <input type="checkbox"/> Certified Copy of Priority Document(s) <small>(if foreign priority is claimed)</small> 16. <input checked="" type="checkbox"/> Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent. 17. <input checked="" type="checkbox"/> Other. Cert. of Mailing; Check	
4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets 8]		
5. Oath or Declaration [Total Pages 3] a. <input checked="" type="checkbox"/> Newly executed (original or copy) Copy from a prior application (37 CFR 1.63(d)) (for continuation/divisional with Box 18 completed) b. <input type="checkbox"/> DELETION OF INVENTOR(S) <small>Signed statement attached deleting inventor(s) named in the prior application. See 37 CFR 1.63(d)(2) and 1.33(b)</small>		
6. <input type="checkbox"/> Application Data Sheet See 37 CFR 1.76		

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment or in an Application Data Sheet under 37 CFR 1.76

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No. _____

Prior application information Examiner _____ Group Art Unit _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label **003897** or ☒ Correspondence address below
(Insert Customer No. or Attach bar code label here)

Name	Law Offices of Thomas Schneck				
Address	P.O. Box 2-E				
City	San Jose	State	CA	Zip Code	95109-0005
Country	U.S.A.	Telephone	408/297-9733	Fax	408/297-9748

Name (Print/Type)	Mark Protsik	Registration No. (Attorney/Agent)	31,788
Signature	<i>Mark Protsik</i>	Date	01/31/2002

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FEE TRANSMITTAL
for FY 2000

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT(\$)**1,160.00****Complete if Known**

Application Number

Filing Date

First Named Inventor

Shing Lee

Examiner Name

Group Art Unit

Attorney Docket No.

SPK 01-007

METHOD OF PAYMENT (check one)

- 1.
- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to

Deposit
Account
Number

19-0590

Deposit
Account
Name

Thomas Schneck Law Offices

- ☒
- Charge Any Additional Fee Required
-
- Under 37 CFR 1.16 and 1.17

- ☒
- Applicant claims small entity status
-
- See 37 CFR 1.27

- 2.
- ☒
- Payment Enclosed:**

- ☒
- Check
- ☐
- Credit card
- ☐
- Money
-
- Order
- ☐
- Other

FEE CALCULATION**1. BASIC FILING FEE**

Large Entity Small Entity

Fee Fee Fee Fee
Code (\$) Code (\$) Fee Description

101 690 201 345 Utility filing fee

106 310 206 155 Design filing fee

107 480 207 240 Plant filing fee

108 690 208 345 Reissue filing fee

114 150 214 75 Provisional filing fee

Fee Paid

370

SUBTOTAL (1) (\$) 370

2. EXTRA CLAIM FEES

Total Claims	80	-20** =	60	x	9	=	540
Independent Claims	8	-3** =	5	x	42	=	210
Multiple Dependent						=	

**or number previously paid if greater. For Reissues, see below

Large Entity Small Entity

Fee Fee Fee Fee
Code (\$) Code (\$) Fee Description

103 18 203 9 Claims in excess of 20

102 78 202 39 Independent claims in excess of 3

104 260 204 130 Multiple dependent claim, if not paid

109 78 209 39 ** Reissue independent claims
over original patent110 18 210 9 ** Reissue claims in excess of 20
and over original patent

SUBTOTAL (2)

(\$)**750****FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity Small Entity

Fee Fee Fee Fee
Code (\$) Code (\$) Fee Description

105 130 205 65 Surcharge - late filing fee or oath

127 50 227 25 Surcharge - late provisional filing fee or
cover sheet

139 130 139 130 Non-English specification

147 2,520 147 2,520 For filing a request for *ex parte* reexamination112 920* 112 920* Requesting publication of SIR prior to
Examiner action113 1,840* 113 1,840* Requesting publication of SIR after
Examiner action

115 110 215 55 Extension for reply within first month

116 380 216 190 Extension for reply within second month

117 870 217 435 Extension for reply within third month

118 1,360 218 680 Extension for reply within fourth month

128 1,850 228 925 Extension for reply within fifth month

119 300 219 150 Notice of Appeal

120 300 220 150 Filing a brief in support of an appeal

121 260 221 130 Request for oral hearing

138 1,510 138 1,510 Petition to institute a public use proceeding

140 110 240 55 Petition to revive - unavoidable

141 1,210 241 605 Petition to revive - unintentional

142 1,210 242 605 Utility issue fee (or reissue)

143 430 243 215 Design issue fee

144 580 244 290 Plant issue fee

122 130 122 130 Petitions to the Commissioner

123 50 123 50 Petitions related to provisional applications

126 240 126 240 Submission of Information Disclosure Stmt

581 40 581 40 Recording each patent assignment per
property (times number of properties)146 690 246 345 Filing a submission after final rejection
(37 CFR § 1.129(a))149 690 249 345 For each additional invention to be
examined (37 CFR § 1.129(b))

179 690 279 345 Request for Continued Examination (RCE)

169 900 169 900 Request for expedited examination
of a design application

Other fee (specify) _____

* Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$)**40****SUBMITTED BY**

Name (Print/Type)

Mark Protsik

Registration No
(Attorney/Agent)

31,788

Complete (if applicable)

Telephone

408/297-9733

Signature

Mark Protsik

Date

01/31/2002

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be included on this form. Provide credit card information and authorization on PTO-2038.Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on
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SPK 01-007

Certificate under 37 CFR 1.10 of Mailing by "Express Mail"

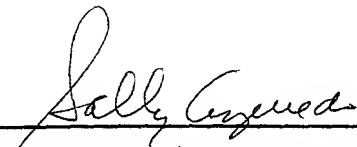
EL 873888399 US

"Express Mail" label number

January 31, 2002

Date of Deposit

I hereby certify that this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.



Signature of person mailing correspondence

Sally Azevedo

Typed or printed name of person mailing correspondence

Note: Each paper must have its own certificate of mailing by "Express Mail".

10062936-013102

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**REQUEST AND CERTIFICATION
UNDER
35 U.S.C. 122(b)(2)(B)(i)**

First Named Inventor	Shing Lee
Title	THERMALLY WAVELENGTH TUNABLE LASER HAVING SELECTIVELY ACTIVATED GRATINGS
Atty Docket Number	SPK 01-007

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

January 31, 2002

Date

Mark Protsik

Signature

Mark Protsik

Typed or printed name
Patent Agent

Reg. No. 31,788

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

Burden Hour Statement: This collection of information is required by 37 CFR 1.213(a). The information is used by the public to request that an application not be published under 35 U.S.C. 122(b) (and the PTO to process that request). Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is estimated to take 6 minutes to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO Assistant Commissioner for Patents, Washington, DC 20231

1002-0130-0001